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PTO/SB/21 (8-00)
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Patent and Trademark Office U.S. Department of Commerce

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/026,747
Filing Date	December 20, 2001
First Named Inventor	Janat Horn, et al.
Group Art Unit	3624
Examiner Name	To be assigned
Attorney Docket Number	4797-93

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Petitions to the Commissioner <input type="checkbox"/> Request For Corrected Filing Receipt With A Copy Of the Official Receipt <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> Form PTO/SB/08A <u>4</u> References <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 <input type="checkbox"/> Petition to Make Special <input type="checkbox"/> Statement pertaining to pre-examination search; and <input type="checkbox"/> Detailed discussion of the references submitted with the Information Disclosure Statement	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) - <u> </u> Sheets <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) <u> </u> <input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Withdrawal of attorney as Attorney or Agent <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div>Change of Correspondence Address Return Receipt Postcard</div>
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Leslie Gladstone Restaino, Reg. No. 38,893
Signature	<i>Leslie Restaino</i>
Date	December 6, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date

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Type or printed name	Marcy Mancuso	Date	December 6, 2002
Signature	<i>Marcy Mancuso</i>		

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Janat Horn, et al. Docket No.: 4797-93
Serial No.: 10/026,747 Examiner: To be assigned
Filed: December 20, 2001 Group Art Unit: 3624
Title: **SYSTEM AND METHOD FOR FACILITATING SECURITIES
BORROWING TRANSACTIONS**

Commissioner for Patents
Washington, D.C. 20231

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INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.97(b)

Sir:

In accordance with the duty of disclosure under 37 CFR §1.56, applicants hereby notify the U.S. Patent and Trademark Office of the following documents, which are listed on the attached PTO/SB/08A form. The examiner may deem these documents to be relevant to patentability of the claims of the above-identified application. The items listed on the attached PTO/SB/08A form were provided by applicants in the parent application (U.S.S.N. 09/712,358).

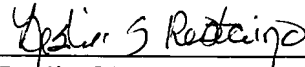
The submission of the listed documents is not intended as an admission that the documents constitute prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Applicants respectfully request that the listed documents be considered by the examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08A be returned in accordance with MPEP §609.

It is understood that no fee is necessary for submission of this Information Disclosure Statement, as it is being filed before the later of three months from the filing date or the mailing of the first Office Action on the merits.

The Commissioner is hereby authorized to charge payment of any fees associated with this application or credit any overpayment to Deposit Account No. 02-4270.

Respectfully submitted,



Leslie Gladstone Restaino

Reg. No. 38,893

Attorney for Applicants

BROWN RAYSMAN MILLSTEIN

FELDER & STEINER LLP

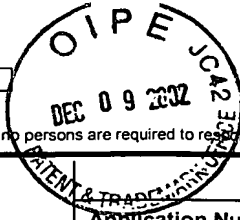
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• Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

Application Number	10/026,747
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Group Art Unit	3624
Examiner Name	Not yet assigned
Attorney Docket Number	4797-93

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U.S. PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		6,014,643	A1,X6	Minton	01/11/2000	
		6,304,858	B1	Mosler et al.	10/16/2001	

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	U.S. Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
			WO 01/09699	A2,A3	Tradeworx, Inc.	02/08/2001		
			WO 01/61590	A2	PaineWebber	08/23/2001		
					Incorporated			

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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